

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	2102393-991130
First Inventor	Polynkin, Pavel, G., et al.
Title	OPTICAL SPECTRAL POWER MONITORS EMPLOYING
Express Mail Label No.	EL 904946805 US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

**ADDRESS  
TO:**U.S. Patent and Trademark Office  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages: 26]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to sequence listing, a table or a computer program listing appendix
  - Background of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [ Total Sheets 6 ] FORMAL
5. Oath or Declaration [ Total Pages 4 ]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76.

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies; or
  - ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☒ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☒ Other: Check No.: 497022/\$ 614.00

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Prior application information: Examiner: \_\_\_\_\_ Group/Art Unit: \_\_\_\_\_

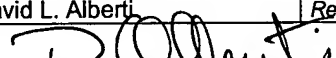
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS**

☐ Customer Number or Bar Code Label

or ☒ Correspondence address below

Name	David L. Alberti				
Address	Gray Cary Ware & Freidenrich				
	1755 Embarcadero Road				
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Country	US	Telephone	650/833-2052	Fax	650/320-7401

NAME (Print/Type)	David L. Alberti	Registration No. (Attorney/Agent)	43,465
Signature		Date	12/27/2001

12/27/01

PTO/SB/17 (10-01)

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$614.00)

## Complete if Known

Application Number	Not Yet Assigned
Filing Date	Herewith
First Named Inventor	Polynkin, Pavel, G., et al.
Examiner Name	Not Yet Assigned
Group Art Unit	Not Yet Assigned
Attorney Docket No.	2102393-991130

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

07-1896

Deposit  
Account  
Name

- ☒ Charge Any additional Fee Required  
Under 37 CFR 1.16 and 1.17

- ☒ Applicant claims small entity status.  
See 37 CFR 1.27

- ☒ Payment Enclosed: Check #497022

- ☒ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

### BASIC FILING FEE

Large Entity Small Entity

Fee Fee Fee Fee Fee Description

Code (\$) Code (\$) Code (\$) Code (\$)

101 740 201 370 Utility filing fee

106 330 206 165 Design filing fee

107 510 207 255 Plant filing fee

108 740 208 370 Reissue filing fee

114 160 214 80 Provisional filing fee

Fee Paid

370.00

SUBTOTAL (1) (\$370.00)

### 2. EXTRA CLAIM FEES

Total Claims 38 -20\*\* = 18 X 9 = 162.00

Independent Claims 4 -3\*\* = 1 X 42 = 42

Multiple Dependent X 0 = 0

Large Entity Small Entity

Fee Fee Fee Fee Fee Description

Code (\$) Code (\$) Code (\$) Code (\$)

103 18 203 9 Claims in excess of 20

102 84 202 42 Independent claims in excess of 3

104 280 204 140 Multiple dependent claim, if not paid

109 80 209 42 \*\* Reissue independent claims

over original patent

110 18 210 9 \*\* Reissue claims in excess of 20

and over original patent

SUBTOTAL (2) (\$204.00)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Fee Fee Fee

Code (\$) Code (\$) Code (\$)

105 130 205 65

127 50 227 25

139 130 139 130

147 2,520 147 2,520

112 920\* 112 920\*

113 1,840\* 113 1,840\*

115 110 215 55

116 400 216 200

117 920 217 460

118 1,440 218 720

128 1,960 228 980

119 320 219 160

120 320 220 160

121 280 221 140

138 1,510 138 1,510

140 110 240 55

141 1,280 241 640

142 1,280 242 640

143 460 243 230

144 620 244 310

122 130 122 130

123 50 123 50

126 180 126 180

581 40 581 40

146 740 246 370

149 740 249 370

179 740 279 370

169 900 169 900

Other fee (specify)

\* Reduced by Basic Filing Fee Paid

Fee Description

Surcharge - late filing fee or oath

Surcharge - late provisional filing fee or cover sheet

Non-English specification

For filing a request for ex parte reexamination

Requesting publication of SIR prior to Examiner action

Requesting publication of SIR after Examiner action

Extension for reply within first month

Extension for reply within second month

Extension for reply within third month

Extension for reply within fourth month

Extension for reply within fifth month

Notice of Appeal

Filing a brief in support of an appeal

Request for oral hearing

Petition to institute a public use proceeding

Petition to revive - unavoidable

Petition to revive - unintentional

Utility issue fee (or reissue)

Design issue fee

Plant issue fee

Petitions to the Commissioner

Processing fee under 37 CFR 1.17(q)

Submission of Information Disclosure Stmt

Recording each patent assignment per property (times number of properties)

Filing a submission after final rejection (37 CFR § 1.129(a))

For each additional invention to be examined (37 CFR § 1.129(b)).

Request for Continued Examination (RCE)

Request for expedited examination of a design application

Fee Paid

40.00

SUBTOTAL (3) (\$40.00)

SUBMITTED BY

Name (Print/Type)

David L. Alberti

Registration No.  
(Attorney/Agent)

43,465

Complete (if applicable)

Telephone

650/833-2052

Signature

Date

December 27, 2001

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**Docket No.  
2102393-991130

Applicant: Fong-Long Lin and Michael Briner

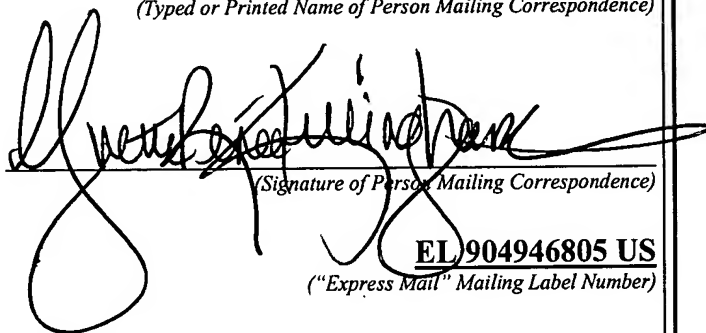
Serial No.  
Not Yet AssignedFiling Date  
HerewithExaminer  
N/AGroup Art Unit  
N/A

Invention:

**OPTICAL SPECTRAL POWER MONITORS EMPLOYING TIME-DIVISION-  
MULTIPLEXING DETECTION SCHEMES**I hereby certify that this UTILITY PATENT APPLICATION*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Assistant Commissioner for Patents and Trademarks, Box Patent Application, Washington, D.C. 20231, on December 27, 2001.

Yvette Renée Killingham

*(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)***EL904946805 US***("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**NONPUBLICATION REQUEST  
UNDER  
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor

Pavel G. Polynkin

Title

OPTICAL SPECTRAL POWER MONITORS  
EMPLOYING TIME-DIVISION-MULTIPLEXING  
DETECTION SCHEMES

Atty Docket Number

2102393-991130

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

12-19-01

Date

Signature

Pavel G. Polynkin, Mark H. Garrett, and Jeffrey P. Wilde

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**